

10/511020

DT02 Rec'd PC 0 8 OCT 2004

Docket No. 21238 US (C038435/0180816)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE ACTING AS
DESIGNATED/ELECTED OFFICE (DO/EO/US) UNDER THE PATENT COOPERATION
TREATY CONCERNING A FILING UNDER 35 U.S.C. § 371

In re Application of:)
Katja BERG-SCHULTZ and Ulrich HUBER)
Based on Int'l Application No.: PCT/EP03/03095) Examiner: Not yet assigned
International Filing Date: 25 March 2003) Art Unit: Not yet assigned
Filed: Herewith)
For: **ORGANOSILICONE DERIVATIVES OF AMINO**)
HYDROBENZOPHENONES AND THEIR USE AS)
UV-A FILTERS IN COSMETIC PREPARATIONS)

New York, New York
October 8, 2004

CERTIFICATE OF EXPRESS MAILING

"Express Mail" Mailing Label No.: ER 930263929 US
Date of Deposit: October 8, 2004

I hereby certify that the following:

- [x] Certificate of Express Mailing (1 p)
- [x] Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. § 371 (2 pp) in duplicate
- [x] Copy of International Application as filed (22 pp)
- [x] Information Disclosure Statement, PTO-1449 (6 pp, incl. duplicate p 3) and copies of refs.
- [x] Preliminary Amendment (9 pp, including duplicate p 1)
- [x] Copy of published international application WO 03/086340 A1 (23 pp)
- [x] Copy of International Search Report (4 pp)
- [x] Copy of International Preliminary Examination Report (9 pp)
- [x] Check for \$950.00 (National Filing Fee)
- [x] Return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the Date of Deposit indicated above in an envelope addressed to Mail Stop PCT, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Marvin Chisholm

Signature of Person Making Deposit

BRYAN CAVE LLP
1290 Avenue of the Americas
New York, New York 10104
(212) 541-2000

FORM PTO-1390 (REV. 10-2003)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 21238 US (C038435/0180816)	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5 Not yet assigned) 10/511020	
INTERNATIONAL APPLICATION NO. PCT/EP03/03095		INTERNATIONAL FILING DATE 25 March 2003		PRIORITY DATE CLAIMED 12 April 2002	
TITLE OF INVENTION ORGANOSILICONE DERIVATIVES OF AMINO HYDROXYBENZOPHENONES AND THEIR USE AS UV-A FILTERS IN COSMETIC PREPARATIONS					
APPLICANT(S) FOR DO/EO/US Katja BERG-SCHULTZ and Ulrich HUBER					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>Items 11 to 20 below concern document(s) or information included:</p> <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</p> <p>18. <input checked="" type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: Copy of the International Search Report (4 pp.); Copy of the International Preliminary Examination Report (9 pp.); Certificate of Express Mailing (1 p.); and Return Postcard.</p>					

U.S. APPLICATION NO. (If known, see 37 CFR 1.53) Not yet assigned 10/511020		INTERNATIONAL APPLICATION NO. PCT/EP03/03095		ATTORNEY'S DOCKET NUMBER 21238 US (C038435/0180816)	
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21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1080.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY	
				\$	950.00
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	7 - 20 =	0	x \$18.00	\$	0.00
Independent claims	1 - 3 =	0	x \$86.00	\$	0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				\$	0.00
TOTAL OF ABOVE CALCULATIONS =				\$	950.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$	950.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	0.00
TOTAL NATIONAL FEE =				\$	950.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
TOTAL FEES ENCLOSED =				\$	950.00
				Amount to be refunded:	\$
				charged:	\$

a. ☒ A check in the amount of \$ 950.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 02-4467 in the amount of \$ 950.00 to cover the above fees.
 A duplicate copy of this sheet is enclosed.

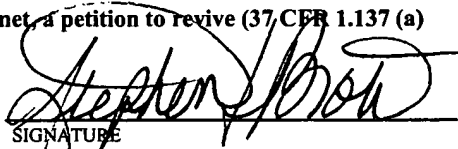
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
 overpayment to Deposit Account No. 02-4467. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
 information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
 or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

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 SIGNATURE
 Stephen J. Brown

 NAME
 43,519

 REGISTRATION NUMBER